



DON Interim Performance Management System

Transition to the Interim
Performance Management
System from NSPS



DON Interim Performance Management System

- Background
 - NDAA 2010 repealed NSPS
 - NDAA required that all employees be transitioned from NSPS NLT 1 Jan 2012
 - NDAA also required that DoD develop an enterprise-wide performance management system
 - Until the enterprise-wide system is developed, DON has developed an interim PMS.



DON Interim Performance Management System

- Coverage

- Interim PMS applies to all non-bargaining unit positions that transitioned from NSPS
- Also covers positions that would have been covered by NSPS
- Coverage is based on the position, not the employee occupying the position



DON Interim Performance Management System

- Timeline
 - One year appraisal period – 1 Oct thru 30 Sep
 - Create performance plan
 - Months 1 – 5
 - Conduct Interim Reviews
 - Months 5 – 7
 - Rate and Reward
 - Month 12



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- Create Performance Plan (Month 1 – 5)
 - Identify Critical Elements for upcoming year
 - Identify developmental and training needs
 - Create a plan for monitoring performance and communicating throughout the year



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- Conduct Interim Review (Months 5 – 7)
 - Check employee progress
 - Provide feedback on performance so far
 - Adjust Critical Elements if necessary



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- Rate and Reward (Month 12)
 - Discuss employee performance
 - Provide the employee with a Summary Rating
 - Determine if the employee is eligible for performance awards
 - Explain grievance process if necessary



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- Performance Appraisal Requirements
 - First appraisal period will commence upon departure from NSPS and end on 30 Sep 10
 - Subsequent years; appraisal period will be 1 Oct – 30 Sep
 - Minimum appraisal period is 90 days under an approved plan in the same position
 - Appraisal period may be extended to meet the minimum 90 day period



DON Interim Performance Management System

- Roles and Responsibilities
 - Awards Review Board
 - Senior leaders at the organizational level
 - Senior Rating Official
 - Reviews and approves performance plans, recommended ratings, rewards and recognition



DON Interim Performance Management System

- Roles and Responsibilities (Cont'd)
 - Rating Official
 - Reviews and approves performance plans
 - Submits recommended ratings of record, rewards and recognition
 - Employee
 - Executes their performance plan to meet the objectives of the organization
 - Identifies, records accomplishments and results



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- Performance Management Phases
 - Performance cycle consists of four phases completed throughout the year
 - Planning
 - Monitoring and Developing
 - Rating
 - Rewarding



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- Phase 1 - Planning
 - Develop and communication critical elements
 - Create the performance plan
 - Within 30 days after the beginning of the appraisal period
 - Within 30 days after being permanently assigned to a new position
 - Within 30 days after being detailed or to a temporary assignment expected to last more than 120 days



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- Phase 1 - Planning (Cont'd)
 - Develop critical elements
 - Critical Element is a work assignment, goal, objective or responsibility of real importance
 - Failure to meet a critical element will result in overall unacceptable performance
 - Address individual objectives and expectations
 - Clearly aligned to organizational goals, objectives and strategic plans
 - Non-critical elements and additional performance elements may not be used



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- Phase 1 - Planning (Cont'd)
 - Minimum of two, generally, three to five critical elements
 - Supervisory positions must contain at least one supervisory Critical Element that contains reference to EEO responsibilities
 - Positions that involve work such as safety, management of classified information, contracting, etc.
 - Must contain critical Elements related to the specific type of work



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- Phase 1 – Planning (Cont'd)
 - Critical elements should be understandable, assessable, comprehensive and commensurate
 - May be modified, added to or deleted as needed prior to 90 days of the end of the appraisal period (30 Jun)
 - Must be promptly and clearly communicated to the employee



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- Phase 1 – Planning (Cont'd)
 - Rating officials must certify that the employee's PD is or is not current and accurate
 - If not, rating official should take corrective action



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- Phase 2 – Monitoring and Developing
 - Rating Official Responsibilities
 - Rating officials must monitor and assess performance on a regular basis
 - Continually provide feedback that is specific, fair, and accurate.
 - Track employee performance
 - Review organization mission and goals
 - Conduct at least one formal progress review (Midyear)



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- Phase 3 – Rating
 - Annual Appraisal
 - Provided within 75 days after the end of the appraisal period to each employee
 - Employee provides narrative assessment of accomplishments for each critical element
 - Within 15 days of the end of the appraisal period
 - Rating Official
 - Prepares written assessment of employee performance
 - Within 30 days after the end of the appraisal period



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- Phase 3 - Rating (Cont'd)
 - Conducts comparison of performance for each critical element to appropriate critical element performance standards contained in appendix C
 - Assigns individual element levels of acceptable or unacceptable
 - Assigns a recommended rating of record (Summary Level)
 - Acceptable or Unacceptable
 - A summary level of unacceptable is assigned if one or more critical elements is rated unacceptable



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- Phase 3 – Rating (Cont'd)
 - Rating of record, rating official narrative assessment and recognition communicated to employee
 - Within 75 days of the end of the performance appraisal period
 - After approval by the Senior Rating Official and reviewed by Awards Board



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- Example – All critical elements assigned Acceptable

Critical Element Number	Element Level	Reward Recommendation
1	Acceptable	1
2	Acceptable	2
3	Acceptable	2
4	Acceptable	1
5	Acceptable	3



DON Interim Performance Management System

- Phase 4 – Rewarding
 - Two means of recognizing and rewarding
 - Performance based award and QSI's
 - Awards recognize employee accomplishments and contributions
 - Eligibility for rewards is based on the average of the critical elements rating
 - QSI's may be granted in recognition of high quality performance
 - Must be documented



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- Phase 4 – Rewarding (Cont'd)
 - Care should be taken that similarly situated employees with like performance are rewarded in a similar manner
 - Award amounts are neither mandatory nor guaranteed
 - Eligibility for performance-based awards will be based on the average of the reward recommendations as depicted on the next slide



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- Phase 4 – Rewarding (Cont'd)
 - Average of Reward Recommendations

Average of Reward Recommendations	Awards Eligibility
1.0 – 1.49	No Award – 1.0%
1.50 – 2.49	1.0 – 2.0%
2.50 – 3.0	2.0 – 4.0%



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- Rating Example

Critical Element Number	Element Level	Reward Recommendation
1	Acceptable	1
2	Acceptable	2
3	Acceptable	2
4	Acceptable	1
5	Acceptable	3



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- Rating Example

The average rewards recommendations is:

$$[(1 + 2 + 2 + 1 + 3) / 5] = 1.8$$

Therefore, employee may be eligible for 1.0 - 2.0% of his/her base salary as a performance award



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- Phase 4 – Rewarding
 - Performance Awards Review Board
 - Comprised of senior leaders
 - Reviews award amounts approved by the Senior Rating Official
 - Approves/disapproves recommendations for awards/QSI's to ensure fairness and good business decisions



DON Interim Performance Management System

- Grievances and Appeals
 - Employees may address issues related to the performance appraisal process through administrative grievance procedures
 - If applicable, negotiated grievances procedures
 - Appeals may be submitted to the MSPB



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- May file a grievance for:
 - Failure to inform employee of Critical Elements and standards within the required time frame
 - Ratings on individual Critical Elements and Summary Level Ratings
- Substance of critical Elements and determinations concerning awards or additional step increases are not grievable



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Transition Year Requirements

Employees will complete their interim assessment under NSPS

Supervisors will complete the interim assessment on employees under NSPS

Upon transition, NSPS job objectives will be carried over into the new performance plan and become the critical elements



DON Interim Performance Management System

- Transition Year – Performance Plan Crosswalk

NSPS Performance Plan	Part	DON Interim Performance Plan	Part
Administrative Data plus NSPS Position & Salary Information	A	Administrative Data plus GS Position & Salary Information	A
Rating Official – may not be direct supervisor	C	Rating Official – generally the employee's 1 st line supervisor	B
Higher Level Reviewer	C	Senior Rating Official – generally the employee's 2 nd line supervisor	B
Performance Indicators	D	Critical Element Assessment Standards	C
Job Objective Title	E	Critical Element Title	D
Job Objective	E	Critical Element	D



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Transition Year Requirements

At the end of the appraisal period, both employee and supervisors will initiate a self assessment

Supervisors will utilize the Interim Performance Management System guidance to closeout appraisals and provide recommended ratings and recognition to Senior Level Raters



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Questions???

